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PLATO

The Allegory of the Cave

PLATO (428–347 B.C.E.) was born into an aristocratic, probably Athenian, family and educated according to the best precepts available. He eventually

became a student of Socrates and later involved himself closely with Socrates' work and teaching. Plato was not only Socrates' finest student but also the one who immortalized Socrates in his works. Most of Plato's works are philosophical essays in which Socrates speaks as a character in a dialogue with one or more students or listeners.

Both Socrates and Plato lived in turbulent times. In 404 B.C.E. Athens was defeated by Sparta, and its government was taken over by tyrants. Political life in Athens became dangerous. Plato felt, however, that he could effect positive change in Athenian politics—until Socrates was tried unjustly for corrupting the youth of Athens and sentenced to death in 399 B.C.E. After that, Plato withdrew from public life and devoted himself to writing and to the academy he founded in an olive grove in Athens. The academy endured for almost a thousand years, which tells us how greatly Plato's thought was valued.

Although it is not easy to condense Plato's views, he may be said to have held the world of sense perception to be inferior to the world of ideal entities that exist only in a pure spiritual realm. These ideals, or forms, Plato argued, are perceived directly by everyone before birth and then dimly remembered here on earth. But the memory, dim as it is, enables people to understand what the senses perceive, despite the fact that the senses are unreliable and their perceptions imperfect.

This view of reality has long been important to philosophers because it gives a philosophical basis to antimaterialistic thought. It values the spirit first and frees people from the tyranny of sensory perception and sensory reward. In the case of love, Plato held that Eros leads individuals to revere the body and its pleasures; but the thrust of his teaching is that the body is a metaphor for spiritual delights. Plato maintains that the body is only a starting point, which eventually can lead to both spiritual fulfillment and the appreciation of true beauty.

From *The Republic*. Translated and glossed by Benjamin Jowett.

On the one hand, "The Allegory of the Cave" is a discussion of politics: *The Republic*, from which it is taken, is a treatise on justice and the ideal government. On the other hand, it has long stood as an example of the notion that if we rely on our perceptions to know the truth about the world, then we will know very little about it. In order to live ethically, it is essential to know what is true and, therefore, what is important beyond the world of sensory perception.

Plato's allegory has been persuasive for centuries and remains at the center of thought that attempts to counter the pleasures of the sensual life. Most religions aim for spiritual enlightenment and praise the qualities of the soul, which lies beyond perception. Thus, it comes as no surprise that Christianity and other religions have developed systems of thought that bear a close resemblance to Plato's. Later refinements of his thought, usually called Neoplatonism, have been influential even into modern times.

PLATO'S RHETORIC

Two important rhetorical techniques are at work in the following selection. The first and more obvious—at least on one level—is the device of the allegory, a story in which the characters and situations actually represent people and situations in another context. It is a difficult technique to sustain, although Aesop's fables were certainly successful in using animals to represent people and their foibles. The advantage of the technique is that a complex and sometimes unpopular argument can be fought and won before the audience realizes that an argument is under way. The disadvantage of the technique is that the terms of the allegory may only approximate the situation it represents; thus, the argument may fail to be convincing.

The second rhetorical technique Plato uses is the dialogue. In fact, this device is a hallmark of Plato's work; indeed, most of his writings are called dialogues. The *Symposium*, *Apology*, *Phaedo*, *Crito*, *Meno*, and most of his famous works are written in dialogue form. Usually in these works Socrates is speaking to a student or a friend about highly abstract issues, asking questions that require simple answers. Slowly, the questioning proceeds to elucidate the answers to complex issues.

This question-and-answer technique basically constitutes the Socratic method. Socrates analyzes the answer to each question, examines its implications, and then asserts the truth. The method works partly because Plato believes that people do not learn things but remember them. That is, people originate from heaven, where they knew the truth; they already possess knowledge and must recover it by means of the dialogue. Socrates' method is ideally suited to that purpose.

Beyond these techniques, however, we must look at Plato's style. It is true that he is working with difficult ideas, but his style is so clear, simple, and direct that few people would have trouble understanding what he is saying. Considering the influence this work has had on world thought, and the reputation Plato had earned by the time he wrote *The Republic*, its style is remarkably plain and accessible. Plato's respect for rhetoric and its proper uses is part of the reason he can express himself with such impressive clarity.

33 PREREADING QUESTIONS: WHAT TO READ FOR

The following prereading questions may help you anticipate key issues in the discussion of Plato's "The Allegory of the Cave." Keeping them in mind during your first reading of the selection should help focus your attention.

- 1. In what ways are we like the people in the cave looking at shadows?
- 2. Why is the world of sensory perception somewhat illusory?
- 3. For Plato, what is the difference between the upper world and the lower world?

The Allegory of the Cave

SOCRATES,
GLAUCON. *The
den, the prison-
ers: the light at
a distance;*

And now, I said, let me show in a figure how far our nature is enlightened or unenlightened: — Behold! human beings living in an underground den, which has a mouth open towards the light and reaching all along the den; here they have been from their childhood, and have their legs and necks chained so that they cannot move, and can only see before them, being prevented by the chains from turning round their heads. Above and behind them a fire is blazing at a distance, and between the fire and the prisoners there is a raised way; and you will see, if you look, a low wall built along the way, like the screen which marionette players have in front of them, over which they show the puppets.

I see.

And do you see, I said, men passing along the wall carrying all sorts of vessels, and statues and figures of animals made of wood and stone and various materials, which appear over the wall? Some of them are talking, others silent.

You have shown me a strange image, and they are strange prisoners.

Like ourselves, I replied; and they see only their own shadows, or the shadows of one another, which the fire throws on the opposite wall of the cave?

True, he said; how could they see anything but the shadows if they were never allowed to move their heads?

And of the objects which are being carried in like manner they would only see the shadows?

*the low wall,
and the moving
figures of which
the shadows
are seen on the
opposite wall
of the den.*

Yes, he said.

And if they were able to converse with one another, would they not suppose that they were naming what was actually before them?

Very true.

And suppose further that the prison had an echo which came from the other side, would they not be sure to fancy when one of the passers-by spoke that the voice which they heard came from the passing shadow?

No question, he replied.

To them, I said, the truth would be literally nothing but the shadows of the images.

That is certain.

And now look again, and see what will naturally follow if the prisoners are released and disabused of their error. At first, when any of them is liberated and compelled suddenly to stand up and turn his neck round and walk and look towards the light, he will suffer sharp pains; the glare will distress him, and he will be unable to see the realities of which in his former state he had seen the shadows; and then conceive someone saying to him, that what he saw before was an illusion, but that now, when he is approaching nearer to being and his eye is turned towards more real existence, he has a clearer vision—what will be his reply? And you may further imagine that his instructor is pointing to the objects as they pass and requiring him to name them,—will he not be perplexed? Will he not fancy that the shadows which he formerly saw are truer than the objects which are now shown to him?

Far truer.

And if he is compelled to look straight at the light, will he not have a pain in his eyes which will make him turn away to take refuge in the objects of vision which he can see, and which he will conceive to be in reality clearer than the things which are now being shown to him?

True, he said.

And suppose once more, that he is reluctantly dragged up a steep and rugged ascent, and held fast until he is forced into the presence of the sun himself, is he not likely to be pained and irritated? When he approaches the light his eyes will be dazzled, and he will not be able to see anything at all of what are now called realities.

Not all in a moment, he said.

*The prisoners
would mistake
the shadows
for realities.*

*And when
released, they
would still
persist in
maintaining
the superior
truth of the
shadows.*

*When dragged
upwards, they
would be dazzled
by excess of light.*

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He will require to grow accustomed to the sight of the upper world. And first he will see the shadows best, next the reflections of men and other objects in the water, and then the objects themselves; then he will gaze upon the light of the moon and the stars and the spangled heaven; and he will see the sky and the stars by night better than the sun or the light of the sun by day?

Certainly.

Last of all he will be able to see the sun, and not mere reflections of him in the water, but he will see him in his own proper place, and not in another; and he will contemplate him as he is.

Certainly.

He will then proceed to argue that this is he who gives the season and the years, and is the guardian of all that is in the visible world, and in a certain way the cause of all things which he and his fellows have been accustomed to behold?

Clearly, he said, he would first see the sun and then reason about him.

And when he remembered his old habitation, and the wisdom of the den and his fellow prisoners, do you not suppose that he would felicitate himself on the change, and pity them?

Certainly, he would.

And if they were in the habit of conferring honors among themselves on those who were quickest to observe the passing shadows and to remark which of them went before, and which followed after, and which were together; and who were therefore best able to draw conclusions as to the future, do you think that he would care for such honors and glories, or envy the possessors of them? Would he not say with Homer,

Better to be the poor servant of a poor master,

and to endure anything, rather than think as they do and live after their manner?

Yes, he said, I think that he would rather suffer anything than entertain these false notions and live in this miserable manner.

Imagine once more, I said, such a one coming suddenly out of the sun to be replaced in his old situation; would he not be certain to have his eyes full of darkness?

To be sure, he said.

At length they will see the sun and understand his nature.

They would then pity their old companions of the den.

But when they returned to the den, they would see much worse than those who had never left it.

The prison is the world of sight, the light of the fire is the sun.

Nothing extraordinary in the philosopher being unable to see in the dark.

And if there were a contest, and he had to compete in measuring the shadows with the prisoners who had never moved out of the den, while his sight was still weak, and before his eyes had become steady (and the time which would be needed to acquire this new habit of sight might be very considerable), would he not be ridiculous? Men would say of him that up he went and down he came without his eyes; and that it was better not even to think of ascending; and if any one tried to loose another and lead him up to the light, let them only catch the offender, and they would put him to death.

No question, he said.

This entire allegory, I said, you may now append, dear Glaucon, to the previous argument; the prison house is the world of sight, the light of the fire is the sun, and you will not misapprehend me if you interpret the journey upwards to be the ascent of the soul into the intellectual world according to my poor belief, which, at your desire, I have expressed—whether rightly or wrongly God knows. But, whether true or false, my opinion is that in the world of knowledge the idea of good appears last of all, and is seen only with an effort; and, when seen, is also inferred to be the universal author of all things beautiful and right, parent of light and of the lord of light in this visible world, and the immediate source of reason and truth in the intellectual; and that this is the power upon which he who would act rationally either in public or private life must have his eye fixed.

I agree, he said, as far as I am able to understand you.

Moreover, I said, you must not wonder that those who attain to this beatific vision are unwilling to descend to human affairs; for their souls are ever hastening into the upper world where they desire to dwell; which desire of theirs is very natural, if our allegory may be trusted.

Yes, very natural.

And is there anything surprising in one who passes from divine contemplations to the evil state of man, misbehaving himself in a ridiculous manner; if, while his eyes are blinking and before he has become accustomed to the surrounding darkness, he is compelled to fight in courts of law, or in other places, about the images or the shadows of images of justice, and is endeavoring to meet the conceptions of those who have never yet seen absolute justice?

The eyes may be blinded in two ways, by excess or by defect of light.

The conversion of the soul is the turning round the eye from darkness to light.

The virtue of wisdom has a divine power which may be turned either towards good or towards evil.

Anything but surprising, he replied.

Anyone who has common sense will remember that the bewilderments of the eyes are of two kinds, and arise from two causes, either from coming out of the light or from going into the light, which is true of the mind's eye, quite as much as of the bodily eye; and he who remembers this when he sees anyone whose vision is perplexed and weak, will not be too ready to laugh; he will first ask whether that soul of man has come out of the brighter life, and is unable to see because unaccustomed to the dark, or having turned from darkness to the day is dazzled by excess of light. And he will count the one happy in his condition and state of being, and he will pity the other; or, if he have a mind to laugh at the soul which comes from below into the light, there will be more reason in this than in the laugh which greets him who returns from above out of the light into the den.

That, he said, is a very just distinction.

But then, if I am right, certain professors of education must be wrong when they say that they can put a knowledge into the soul which was not there before, like sight into blind eyes.

They undoubtedly say this, he replied.

Whereas, our argument shows that the power and capacity of learning exists in the soul already; and that just as the eye was unable to turn from darkness to light without the whole body, so too the instrument of knowledge can only by the movement of the whole soul be turned from the world of becoming into that of being, and learn by degrees to endure the sight of being, and of the brightest and best of being, or in other words, of the good.

Very true.

And must there not be some art which will effect conversion in the easiest and quickest manner; not implanting the faculty of sight, for that exists already, but has been turned in the wrong direction, and is looking away from the truth?

Yes, he said, such an art may be presumed.

And whereas the other so-called virtues of the soul seem to be akin to bodily qualities, for even when they are not originally innate they can be implanted later by habit and exercise, the virtue of wisdom more than anything else contains a divine element which always remains, and by this conversion is rendered useful and profitable; or, on the other hand, hurtful and useless. Did you never observe the narrow intelligence flashing from the keen eye of a clever rogue—how eager he is, how

Neither the uneducated nor the over-educated will be good servants of the State.

Men should ascend to the upper world, but they should also return to the lower.

clearly his paltry soul sees the way to his end; he is the reverse of blind, but his keen eyesight is forced into the service of evil, and he is mischievous in proportion to his cleverness?

Very true, he said.

But what if there had been a circumcision of such natures in the days of their youth; and they had been severed from those sensual pleasures, such as eating and drinking, which, like leaden weights, were attached to them at their birth, and which drag them down and turn the vision of their souls upon the things that are below—if, I say, they had been released from these impediments and turned in the opposite direction, the very same faculty in them would have seen the truth as keenly as they see what their eyes are turned to now.

Very likely.

Yes, I said; and there is another thing which is likely, or rather a necessary inference from what has preceded, that neither the uneducated and uninformed of the truth, nor yet those who never make an end of their education, will be able ministers of State; not the former, because they have no single aim of duty which is the rule of all their actions, private as well as public; nor the latter, because they will not act at all except upon compulsion, fancying that they are already dwelling apart in the islands of the blessed.

Very true, he replied.

Then, I said, the business of us who are the founders of the State will be to compel the best minds to attain that knowledge which we have already shown to be the greatest of all—they must continue to ascend until they arrive at the good; but when they have ascended and seen enough we must not allow them to do as they do now.

What do you mean?

I mean that they remain in the upper world: but this must not be allowed; they must be made to descend again among the prisoners in the den, and partake of their labors and honors, whether they are worth having or not.

But is not this unjust? he said; ought we to give them a worse life, when they might have a better?

You have again forgotten, my friend, I said, the intention of the legislator, who did not aim at making any one class in the State happy above the rest; the happiness was to be in the whole State, and he held the citizens together by persuasion and necessity, making them benefactors of the State, and

The duties of philosophers.

Their obligations to their country will induce them to take part in the government.

They will be willing but not anxious to rule.

them, not to please themselves, but to be his instruments in binding up the State.

True, he said, I had forgotten.
Observe, Glaucon, that there will be no injustice in compelling our philosophers to have a care and providence of others; we shall explain to them that in other States, men of their class are not obliged to share in the toils of politics: and this is reasonable, for they grow up at their own sweet will, and the government would rather not have them. Being self-taught, they cannot be expected to show any gratitude for a culture which they have never received. But we have brought you into the world to be rulers of the hive, kings of yourselves and of the other citizens, and have educated you far better and more perfectly than they have been educated, and you are better able to share in the double duty. Wherefore each of you, when his turn comes, must go down to the general underground abode, and get the habit of seeing in the dark. When you have acquired the habit, you will see ten thousand times better than the inhabitants of the den, and you will know what the several images are, and what they represent, because you have seen the beautiful and just and good in their truth. And thus our State, which is also yours, will be a reality, and not a dream only, and will be administered in a spirit unlike that of other States, in which men fight with one another about shadows only and are distracted in the struggle for power, which in their eyes is a great good. Whereas the truth is that the State in which the rulers are most reluctant to govern is always the best and most quietly governed, and the State in which they are most eager, the worst.

Quite true, he replied.
And will our pupils, when they hear this, refuse to take their turn at the toils of State, when they are allowed to spend the greater part of their time with one another in the heavenly light?
Impossible, he answered; for they are just men, and the commands which we impose upon them are just; there can be no doubt that every one of them will take office as a stern necessity, and not after the fashion of our present rulers of State.

Yes, my friend, I said; and there lies the point. You must contrive for your future rulers another and a better life than that of a ruler, and then you may have a well-ordered State;

The statesman must be provided with a better life than that of a ruler; and then he will not covet office.

for only in the State which offers this, will they rule who are truly rich, not in silver and gold, but in virtue and wisdom, which are the true blessings of life. Whereas if they go to the administration of public affairs, poor and hungering after their own private advantage, thinking that hence they are to snatch the chief good, order there can never be; for they will be fighting about office, and the civil and domestic broils which thus arise will be the ruin of the rulers themselves and of the whole State.

Most true, he replied.
And the only life which looks down upon the life of political ambition is that of true philosophy. Do you know of any other?
Indeed, I do not, he said.

QUESTIONS FOR CRITICAL READING

1. What is the relationship between Socrates and Glaucon? Are they equal in intellectual authority? Are they concerned with the same issues?
2. How does the allegory of the prisoners in the cave watching shadows on a wall relate to us today? What shadows do we see, and how do they distort our sense of what is real?
3. Are we prisoners in the same sense that Plato's characters are?
4. If Plato is right that the material world is an illusion, how would too great a reliance on materialism affect ethical decisions?
5. What ethical issues, if any, are raised by Plato's allegory?
6. In paragraph 49, Plato states that the virtue of wisdom "contains a divine element." What is "a divine element"? What does this statement seem to mean? Do you agree with Plato?
7. What distinctions does Plato make between the public and the private? Would you make the same distinctions (see paras. 53-55)?

SUGGESTIONS FOR CRITICAL WRITING

1. Analyze the allegory of the cave for its strengths and weaknesses. Consider what the allegory implies for people living in a world of the senses and for what might lie behind that world. To what extent are people like (or unlike) the figures in the cave? To what extent is the world we know like the cave?
2. Socrates is concerned at the end of the dialogue about the rulers of the state, explaining that they must be more than simply rulers. They must be philosophers, by which he means they must possess wisdom. Explain how possessing a full understanding of important issues...

possessing wisdom. Why should a politician in a modern democracy be aware of the most important developments in science? What has science got to do with politics? What kind of "cave" sometimes imprisons politicians and makes it difficult for them to know the truth about science?

3. As far as Plato is concerned, his tale of captives in a cave relates to their being unable to know the truth about the ideal world. But the allegory may also apply to our own inability, because of an ignorance of science, to know the truth about our world. Plato is talking about our perceptions, our ability to distinguish the true from the false. What does his allegory tell us about how we can understand the true nature of the world around us today? How does science help us see the truth about our existence? What is the equivalent in modern terms of the cave in which Plato's prisoners live?
4. Today, there is a great deal of information about the decisions that ruling politicians make regarding energy exploration, advanced weaponry, human genetics, and agricultural development. These decisions require a great deal of scientific understanding. Pick one of these topics and research the current literature on it and find out what kind of positions our current politicians are taking. What laws have been written (or ignored) that have required sound scientific understanding? Which politicians have held which positions? Are the politicians you read about well versed in the science that is necessary for their making a sound and lasting judgment?
5. Socrates states unequivocally that Athens should compel the best and the most intelligent young men to be rulers of the state. Review his reasons for saying so, consider what his concept of the state is, and then take a stand on the issue. Is it right to compel the best and most intelligent young people to become rulers? If so, would it be equally proper to compel those well suited for the professions of law, medicine, teaching, or religion to follow those respective callings? Would an ideal society result if all people were forced to practice the calling for which they had the best aptitude?
6. **CONNECTIONS** Plato has a great deal to say about goodness as it relates to government. Compare his views with those of Lao-tzu (p. 55) and Niccolò Machiavelli (p. 84). Which of these thinkers would Plato have agreed with most? In comparing these three writers and their political views, consider the nature of goodness they required in a ruler. Do you think that we hold similar attitudes today in our expectations for the goodness of our government?
7. **CONNECTIONS** Plato is concerned with the question of how we know what we know. Francis Bacon in "The Four Idols" (p. 591) is concerned with the same question, although he poses it in different terms. Examine the fundamental issues each author raises. How well do these thinkers agree on basic issues? To what extent, for example, does Bacon warn us to beware the evidence of our senses? To what extent is Bacon as concerned about getting to the truth as Plato is?

FRANCIS BACON

The Four Idols

FRANCIS BACON, Lord Verulam (1561–1626), lived during one of the most exciting times in history. Among his contemporaries were the essayist Michel Eyquem de Montaigne; the playwrights Christopher Marlowe and William Shakespeare; the adventurer Sir Francis Drake; and Queen Elizabeth I, in whose reign Bacon held several high offices. He became lord high chancellor of England in 1618 but fell from power in 1621 through a complicated series of events, among which was his complicity in a bribery scheme. His so-called crimes were minor, but he paid dearly for them. His book *Essays* (1597) was exceptionally popular during his lifetime, and when he found himself without a proper job, he devoted himself to what he declared to be his own true work: writing about philosophy and science.

His purpose in *Novum Organum* (The New Organon), published in 1620, was to replace the old organon, or instrument of thought, Aristotle's treatises on logic and thought. Despite Aristotle's pervasive influence on sixteenth- and seventeenth-century thought — his texts were used in virtually all schools and colleges — Bacon assumed that Aristotelian deductive logic produced error. In *Novum Organum* he tried to set the stage for a new attitude toward logic and scientific inquiry. He proposed a system of reasoning usually referred to as induction. This quasi-scientific method involves collecting and listing observations from nature. Once a mass of observations is gathered and organized, Bacon believed, the truth about what is observed will become apparent.

Bacon is often mistakenly credited with having invented the scientific method of inquiring into nature, but although he was right about the need for collecting and observing, he was wrong about the outcome of such endeavors. After all, one could watch an infinite number of apples (and oranges, too) fall to the ground without ever having the slightest sense of why they do so. What Bacon failed to realize — and he died before he could become scientific enough to realize it — is the creative function of the scientist as expressed in the



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